

## U.S. DEPARTMENT OF THE INTERIOR Employee Performance Appraisal Plan

Employee Name and Social Security Number:		Title/Series/Grade:	
Duty Station:	Appraisal Period:	From:	To:

**Part A: Notification of Standards:** *Signatures certify that critical elements and performance standards were discussed. Critical elements and performance standards are contained in Part E.*

Employee:	Rating Official:	Reviewing Official (if applicable*):
Date:	Date:	Date:

\*If determined by Bureau/Office

**Part B: Progress Review:** *Signatures certify that performance was discussed.*

Employee:	Date:	Rating Official:	Date:
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**Part C: Summary Rating Determination:** To determine a summary rating, assign one of the numerical rating levels that accurately reflects the employee's performance for each of the critical elements (Use only whole numbers: **Exceptional = 5 points; Superior = 4 points, Fully Successful = 3 points, Minimally Successful = 2 points, and Unsatisfactory = 0 points.**) See reverse for complete instructions for assigning a Summary Rating.

Element Number	Numerical Rating
1	
2	
3	
4	
5	
Total:	

Total Numerical Rating \_\_\_\_\_ ÷ Number of Elements \_\_\_\_\_ = Numeric Summary Rating \_\_\_\_\_

**Part D: Overall Summary Rating:** Use conversion chart below to determine Summary Rating. Check the appropriate box:

<b>Exceptional</b>	4.6 – 5.00 AND No critical element rated lower than "Superior".
<b>Superior</b>	3.6 – 4.59 AND No critical element rated lower than "Fully Successful".
<b>Fully Successful</b>	3.0 – 3.59 AND No critical element rated lower than "Fully Successful".
<b>Minimally Successful</b>	2.0 – 2.99 AND No critical element rated lower than "Minimally Successful".
<b>Unsatisfactory</b>	One or more critical elements rated "Unsatisfactory".

  

Employee:	Rating Official:	Reviewing Official: (if applicable):
Date:	Date:	Date:

Check here if Interim Rating: \_\_\_\_\_

Employee's Signature above certifies that the overall summary rating was discussed. Reviewing Official's signature is required for Exceptional, Minimally Successful and Unsatisfactory ratings, and otherwise if determined by Bureau/Office.

## Instructions for Completing the Employee Performance Appraisal Plan

### Establishing Critical Elements and Performance Standards

Critical elements (at least one, but no more than five) should be established for each employee at the start of the performance year. Through these elements, employees are held accountable for work assignments and responsibilities of their position. A critical element is an assignment or responsibility of such importance that Unsatisfactory performance in that element alone would result in a determination that the employee's overall performance is Unsatisfactory. Please see the Performance Appraisal Handbook for more detailed information.

Performance standards are expressions of the performance threshold(s), requirement(s), or expectation(s) that must be met for each element at a particular level of performance. They must be focused on results and include credible measures. You may use the Benchmark Performance Standards from the Performance Appraisal Handbook (in conjunction with individually established performance standards) to describe, for each element, credible measures such as quality, quantity, timeliness and/or cost effectiveness, for at least the "Fully Successful" level. Rating officials are strongly encouraged to develop performance standards at additional levels, to ensure that the employee has a clear understanding of the level of performance expected.

### Progress Reviews

A progress review should be conducted at approximately mid-way through the rating period. Part B should be completed after the progress review. Any written feedback or recommended training can be noted on a separate sheet and attached to the employee performance appraisal plan.

### Assigning the Summary Rating

A specific rating is required for each critical element to reflect the level of performance demonstrated by the employee throughout the rating period. Only one numerical rating level is assigned for each critical element. Before the rating official assigns a summary rating, he/she should consider all interim summary ratings received for the employee during the annual appraisal period. The summary rating is assigned as follows:

- A. Review the employee performance appraisal plan and assess how the employee performed relative to the described performance standards.
- B. Appropriately document the employee's performance with a narrative summary that describes the employee's achievements for the critical elements as compared to the performance standards. A narrative must be written for each critical element assigned a rating of Exceptional, Minimally Successful, or Unsatisfactory. This narrative should contain examples of the employee's performance that substantiate and explain how the employee's performance falls within the level assigned. There is a block provided for the narrative summary for each critical element.
- C. In Part C of this form, assign one of the numerical rating levels that accurately reflects the employee's performance for each of the critical elements (Use only whole numbers: Exceptional = 5 points, Superior = 4 points, Fully Successful = 3 points, Minimally Successful = 2 points, and Unsatisfactory = 0 points).
- D. Add up the numerical rating levels to get a total.
- E. Divide the total by the number of critical elements to get an average. (Elements that are "not rated" because an employee has not had a chance to perform them during the rating year are not assigned any points and should not be used to determine the average rating.)
- F. Assign the employee a summary rating based on the table in Part D of this form.

**Note:** Whenever an employee is rated "**Unsatisfactory**" on one or more critical elements, the overall rating **must** be "**Unsatisfactory**" (regardless of total points). **The rating official should immediately contact the servicing human resources office.**

**Part E: Critical Elements and Performance Standards:** *List below each of the employee's critical elements (at least one, but no more than 5) and their corresponding performance standards. If Benchmark Standards are used, indicate "Benchmark Standards are attached" in the space below, and ensure they are attached to this form.*

<b>Critical Element 1:</b>	
<b>Performance Standards</b>	
<b>Exceptional</b>	
<b>Superior</b>	
<b>Fully Successful</b>	
<b>Minimally Successful</b>	
<b>Unsatisfactory</b>	

**Narrative Summary**

Describe the employee's performance for each critical element. A narrative summary must be written for each element assigned a rating of Exceptional, Minimally Successful, or Unsatisfactory.

**Rating for Critical Element 1:**

☐ Exceptional-5   ☐ Superior-4   ☐ Fully Successful-3   ☐ Minimally Successful-2   ☐ Unsatisfactory-0

**Part E: Critical Elements and Performance Standards:** *List below each of the employee's critical elements (at least one, but no more than 5) and their corresponding performance standards. If Benchmark Standards are used, indicate "Benchmark Standards are attached" in the space below, and ensure they are attached to this form.*

<b>Critical Element 2:</b>	
<b>Performance Standards</b>	
<b>Exceptional</b>	
<b>Superior</b>	
<b>Fully Successful</b>	
<b>Minimally Successful</b>	
<b>Unsatisfactory</b>	

**Narrative Summary**

Describe the employee's performance for each critical element. A narrative summary must be written for each element assigned a rating of Exceptional, Minimally Successful, or Unsatisfactory.

**Rating for Critical Element 2:**

☐ Exceptional-5   ☐ Superior-4   ☐ Fully Successful-3   ☐ Minimally Successful-2   ☐ Unsatisfactory-0

**Part E: Critical Elements and Performance Standards:** *List below each of the employee's critical elements (at least one, but no more than 5) and their corresponding performance standards. If Benchmark Standards are used, indicate "Benchmark Standards are attached" in the space below, and ensure they are attached to this form.*

<b>Critical Element 3:</b>	
<b>Performance Standards</b>	
<b>Exceptional</b>	
<b>Superior</b>	
<b>Fully Successful</b>	
<b>Minimally Successful</b>	
<b>Unsatisfactory</b>	

**Narrative Summary**

Describe the employee's performance for each critical element. A narrative summary must be written for each element assigned a rating of Exceptional, Minimally Successful, or Unsatisfactory.

Rating for Critical Element 3:

☐ Exceptional-5   ☐ Superior-4   ☐ Fully Successful-3   ☐ Minimally Successful-2   ☐ Unsatisfactory-0

**Part E: Critical Elements and Performance Standards:** *List below each of the employee's critical elements (at least one, but no more than 5) and their corresponding performance standards. If Benchmark Standards are used, indicate "Benchmark Standards are attached" in the space below, and ensure they are attached to this form.*

<b>Critical Element 4:</b>	
<b>Performance Standards</b>	
<b>Exceptional</b>	
<b>Superior</b>	
<b>Fully Successful</b>	
<b>Minimally Successful</b>	
<b>Unsatisfactory</b>	

**Narrative Summary**

Describe the employee's performance for each critical element. A narrative summary must be written for each element assigned a rating of Exceptional, Minimally Successful, or Unsatisfactory.

**Rating for Critical Element 4:**

☐ Exceptional-5   ☐ Superior-4   ☐ Fully Successful-3   ☐ Minimally Successful-2   ☐ Unsatisfactory-0

**Part E: Critical Elements and Performance Standards:** *List below each of the employee's critical elements (at least one, but no more than 5) and their corresponding performance standards. If Benchmark Standards are used, indicate "Benchmark Standards are attached" in the space below, and ensure they are attached to this form.*

<b>Critical Element 5:</b>	
<b>Performance Standards</b>	
<b>Exceptional</b>	
<b>Superior</b>	
<b>Fully Successful</b>	
<b>Minimally Successful</b>	
<b>Unsatisfactory</b>	

**Narrative Summary**

Describe the employee's performance for each critical element. A narrative summary must be written for each element assigned a rating of Exceptional, Minimally Successful, or Unsatisfactory.

**Rating for Critical Element 5:**

☐ Exceptional-5   ☐ Superior-4   ☐ Fully Successful-3   ☐ Minimally Successful-2   ☐ Unsatisfactory-0

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